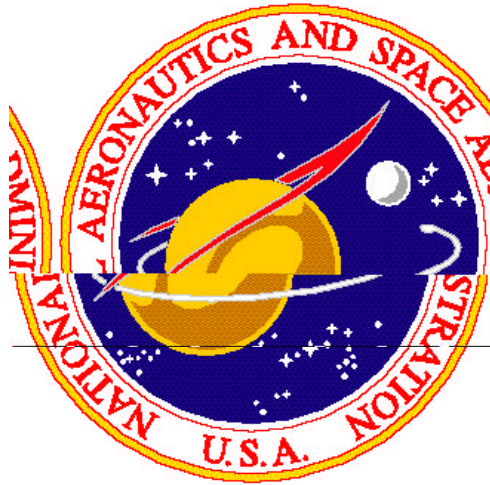


Responsible Office: Office of Headquarters Operations
Subject: Headquarters Policy Formulation and Approval



Office of Headquarters Operations (HQ/Code C)

Office Work Instruction

Headquarters Policy Formulation and Approval

Approved by: (Original Signed By)

Michael D. Christensen

Associate Administrator for Office of Headquarters Operations

Responsible Office: Office of Headquarters Operations
Subject: Headquarters Policy Formulation and Approval

DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/10/99	

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1. PURPOSE

This Headquarters Office Work Instruction (HOWI) is to establish and define the responsibilities and procedures for processing Headquarters directives, such as, Headquarters Policy Directives (HQPD's), Headquarters Policy Guides HQPG's), and Headquarters Policy Charters (HQPC's).

2. SCOPE and APPLICABILITY

- 2.1 This HOWI covers the process required to document and approve Headquarters Directives for all Headquarters organizations.
- 2.2 The Headquarters Facilities and Security Management Division within the Office of Headquarters Operations, Code C, is responsible for maintaining and implementing this document.

3. DEFINITIONS

- 3.1 AA. The Associate Administrator for Headquarters Operations has overall management responsibility for Headquarters Directives.
- 3.2 ADS. Action Document Summary, NASA Form 117 - Form for all single letter codes to concur on the NASA On-line Directives Information System (NODIS).
- 3.3 AO. Action Officer – The individual who prepares draft HQPDs, HQPGs, or HQPCs and submits them for processing.
- 3.4 Cancellation Date. The date that cancels out a directive.
- 3.5 CN. A cancellation notice cancels out a list of obsolete directives.
- 3.6 Code CO. The designation for the Headquarters Facilities and Security Management Division, Office of Headquarters Operations.
- 3.7 Determination of Signature Authority. All HQPC's, HQPD's, and HQPG's will be signed by the Associate Administrator for Headquarters Operations, except those under the purview of the Office of Human Resources and Education, Code F. Signature authority for HQPG's will not extend below the Officials-in-Charge level. (Referenced in NPG 1441.1C).
- 3.8 Directives. NASA Headquarters documents, including HQPDs, HQPGs, and HQPCs maintained on NODIS.
- 3.9 DD. Division Director – The individual who reviews and recommends concurrence/non-concurrence on external directives to the Associate Administrator for Code C.
- 3.10 Effective and Expiration Dates. The Headquarters Directives Manager assigns effective and expiration dates. The effective date of a directive is the date the NASA official signs the directive. HQPD's and HQPG's will bear an expiration date that is 5 years from the effective date of the directive. HQPC's will bear an expiration date that is 2-years from the effective date of the directive. (Referenced in HQHB 1410.3 and NPG 1441.1C).
- 3.11 Gender-Neutral Text. Directives will use gender-neutral language as mandated by Executive Order 12336.

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- 3.12 General Counsel. NASA General Counsel is responsible for reviewing and concurring on all directives during the coordination and clearance process for legal propriety prior to the signature of the Associate Administrator for Headquarters Operations Branch.
- 3.13 HDM. Headquarters Directives Manager (HDM), Code CO, is the point of contact in Headquarters for all matters dealing with and pertaining to operations. The HDM ensures directives are prepared and coordinated in accordance with prescribed requirements and assists and supports Officials-in-Charge of Headquarters Offices (OIC's) with directive activities and issues related to Headquarters directives.

The HDM is responsible for the following activities:

- 3.13.1 Ensuring that Headquarters directives are necessary, properly prepared and coordinated; are editorially correct with emphasis on brevity and clarity; and, when the resource impact is significant, that appropriate cost/benefit considerations have been weighed.
- 3.13.2 Conducting periodic reviews of the Headquarters Directives and elements thereof, identifying problems, and recommending changes and improvements.
- 3.13.3 Ensuring that appropriate clearances are sought regarding approval of new or revised Headquarters directives from those with a need to concur.
- 3.13.3 Monitoring, tracking, and following up on all Headquarters directives until they are put on NODIS.
- 3.13.4 Ensuring availability, file maintenance, printing, and distribution of Headquarters directives.
- 3.14 HQPC's. Headquarters Policy Charters - are charters of councils, committees, working groups, task teams, etc., that are mandated by statute or by the NASA Administrator. QPC's describe the need for establishing the charter. They provide the purpose, function, responsibilities, duration of the charter, and membership. Unless otherwise fixed by statute or presidential directive, HQPC's terminate within 2 years from the effective date of establishment. If the Administrator or designee determines that the charter must remain beyond that time, a revised HQPC may be processed and issued for a subsequent 2-year period. HQPC's are limited to no more than four pages and may have an attachment for the membership lists. (Referenced in HQHB 1410.3)
- 3.15 HQPD's. Headquarters Policy Directives – are used to establish and implement organizational responsibilities, Delegations of Authority, and Headquarters policy of a continuing nature. HQPD's replaced Headquarters Management Instruction (HQMI's), and describe "what" is required by Headquarters management for achieving NASA's vision and mission as depicted in the NASA Strategic Plan. HQPD's are limited to no more than four pages and may have an attachment for metrics or graphic displays for measuring the degrees of compliance with the policy statement. They are effective until superseded or canceled. (Referenced in HQHB 1410.3)
- 3.16 HQPG's. Headquarters Policy Guides – provides specific, detailed instructions and procedures guidelines for implementing Headquarters policy. They replaced Headquarters handbooks (HQHB's), and describe the detailed "how to" instructions and procedures considered essential for accomplishing the deliverable requirements established by the HQMI's. (Referenced in HQHB 1410.3)

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- 3.17 Inspector General. The Inspector General in accordance with Public Law 95-452, Section 4(a) (2), is responsible for reviewing and concurring on all directives during the coordination process for the impact on economy and efficiency in the administration and operations of NASA programs and to prevent and detect fraud and abuse in NASA programs.
- 3.18 Code JM. - The designation for the Management Assessment Division, Office of Management Systems.
- 3.19 Labor Relations Officer. Located in the Headquarters Human Resources Management Division, is responsible for reviewing and concurring on all directives during the coordination process to ensure coordination with local and national offices of Federal labor organizations.
- 3.20 NHQ Form 26 - Routing Slip. A form to control routing actions through Division Directors for their initials.
- 3.21 NHQ Form 117 – Action Document Summary (ADS). See ADS.
- 3.22 NHQ Form 184 – NASA Directive Request Summary. The starting point on NODIS to begin building new or revised policy directive.
- 3.23 NODIS. NASA Online Directives Information System (NODIS) - is an internet application used for archiving NASA directives and for automating the coordination/clearance process. Approved NASA directives will be maintained in the NODIS Directives Library, enabling users to retrieve, view, and print NASA directives electronically.
- 3.24 Numbering and Format. Consist of letters identifying the type of directive (HQPC, consecutive number is added each time the directive is revised. The 4-digit subject-classification number combined HQPD, HQPG), followed by a 4-digit subject-classification number, a decimal point, and a consecutive number. A letter following the with a consecutive number constitutes a unique number used only for that directive. The subject-classification list is provided in NPG 1441.1 and HQHB 1410.3.
- 3.25 Office of Policy and Plans. The Associate Administrator for Policy and Plans, as NASA's focal point for agency wide policy issues, is responsible for reviewing and concurring on all directives during the coordination process.
- 3.26 OIC. Officials-in-Charge of Headquarters Offices (OIC's) are responsible for determining the need for a directive, assigning the action to create or revise a directive to members of his/her staff, presenting directives at the Directives Review Meetings, securing appropriate coordination and approval signatures on directives, and canceling directives when they have served their purpose and are no longer needed or when they are consolidated into or with other directives.
- 3.27 Plain English. All Headquarters directives will be written in plain language as directed in the President's Memorandum for the Heads of Executive Department and Agencies, dated June 1, 1998, Subject: Plain Language in Government Writing.
- 3.28 QCL. Quality Control Liaison – The person reviewing draft documents to ensure final document conforms with the Printing Office Manual and NASA Correspondence Management Standards.
- 3.29 Requester. The Requester is the originator who prepares a proposed policy directive.

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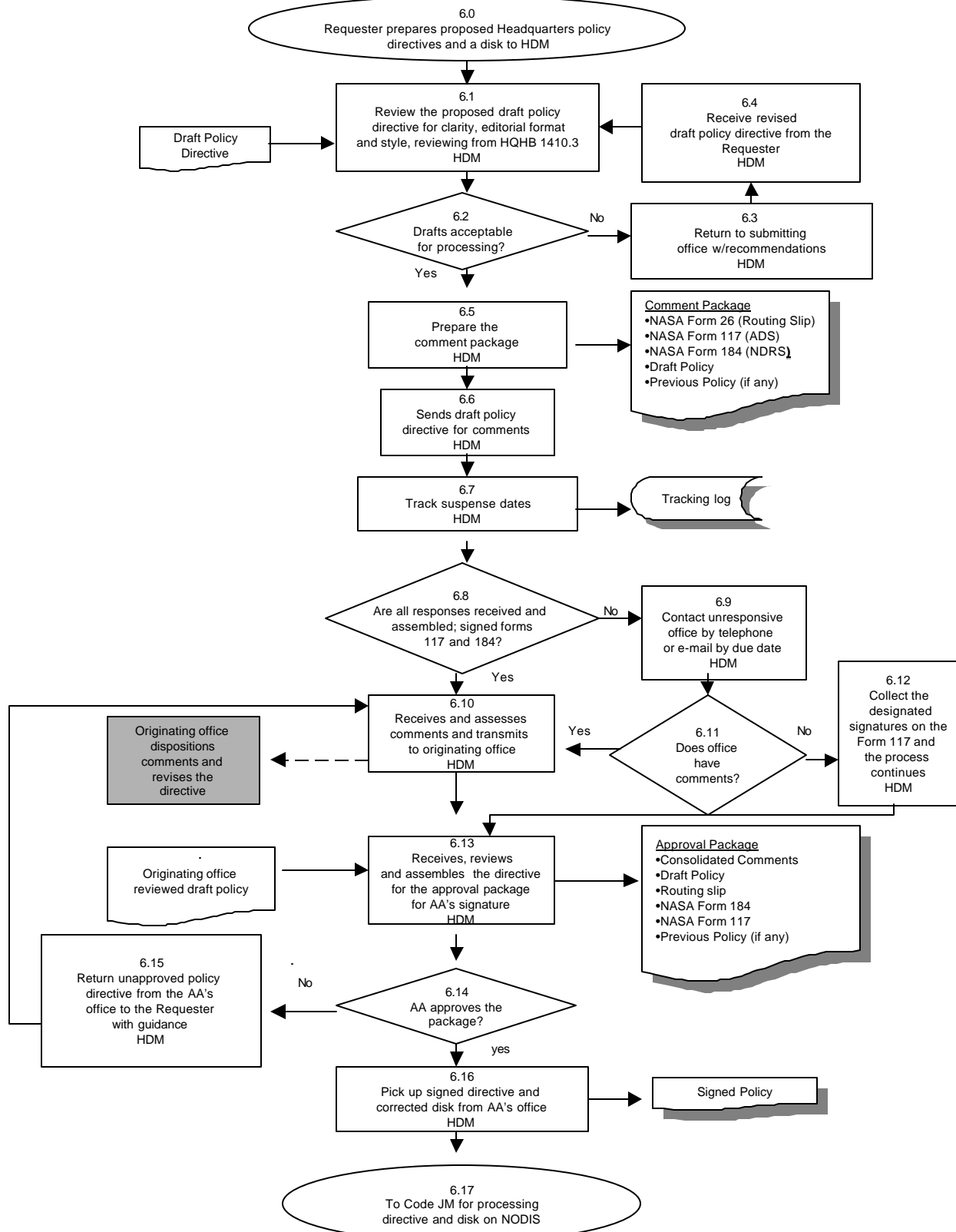
4. REFERENCE DOCUMENTS

- 4.1 Executive Order 12336
- 4.2 HQHB 1410.3 NASA Headquarters Management Directives System Handbook
- 4.3 HQMI 1400.1 Processing Headquarters Directives
- 4.4 HQPG 1590.1 Headquarters Operations Services Guide
- 4.5 NPD 1000.1 NASA Strategic Plan
- 4.6 NPG 1000.2 NASA Strategic Management Handbook
- 4.7 NHB 1101.3 The NASA Organization Handbook
- 4.8 NPG 1400.1 NASA Procedures and Guidelines Directives System
- 4.9 NPG 1441.1 NASA Records Retention Schedules
President's Memorandum for the Heads of Executive Department and
Agencies: Plain Language in Government Writing

The correct version of the HQMI, HQPG, NHB, NPG documents cited above may be obtained from the NODIS Directives Library at <http://nodis.hq.nasa.gov/Library/processes.html>

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5. Flowchart



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6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0	Requester	<p>The Requester prepares a proposed draft of a new or revised Headquarters policy directive and gives it to the Headquarters Directives Manager for processing, and a disk is provided.</p> <p>(On occasion the originating office may prepare NASA Form 117 and 184 and forward them to the Headquarters Directives Manager; the Directives Manager initials the NASA Form 117 and forwards on for further concurrence).</p>
6.1	Headquarters Directives Manager (HDM)	<p>Review the proposed draft policy directive for clarity, editorial format and style, reviewing from HQHB 1410.3 after an Official-in-Charge of a Headquarters office decides there is a need for a new policy directive, prepares a draft of the proposed policy directive and submits it to the Headquarters Directives Manager, Code CO. The Headquarters Directives Manager review takes place simultaneously with the code reviewers.</p> <p>a. The final package is assembled by the Headquarters Directives Manager and routed through any nonconcurring reviewers, the Office of the General Counsel, Code G, and the Office of the Inspector General, Code W, and to the signing authority for official signature indicating approval for printing and distribution.</p> <p>b. Any Headquarters office recognizing a need for guidance or establishing Headquarters policy and responsibilities on a matter essential for effective and efficient operations may request the cognizant office to initiate a directive on the matter. (Referenced in HQHB 1410.3).</p>
6.2		<p>Is the draft acceptable? If no, proceed to 6.3. If yes, proceed to 65.</p>
6.3	HDM	<p>Return draft policy directive to submitting office with recommendations to help correct policy for approval.</p>
6.4	HDM	<p>Receive the revised draft policy from the Requester, proof read and review it again for clarity and editorial style.</p>
6.5	HDM	<p>Prepares the comment package once the draft is acceptable, , which consists of NASA Form 117, Action Document Summary and NASA Form 184, NASA Directive Request Summary, previous policy (if it is a revised copy) and a covered routing slip.</p>

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6.6	HDM	Sends the draft policy directive for comment to the following offices: CO/Division Director, CP/Labor-Relations Officer, G/General Counsel, JM/Directives Management System, W/Inspector General, and Z/Office of Policy and Plans, and whomever this particular document applies to for concurrence.
6.7	HDM	Tracks the suspense dates, and keeps a tracking log of the directives on the Excel spread sheet.
6.8	HDM	Are all responses received and assembled; signed forms 117 and 184? If no, proceed to 6.9. If yes, proceed to 6.10.
6.9	HDM	Contact the unresponsive offices by telephone or e-mail if the HDM have not received the NASA Form 117 and NASA Form 184 by the due date.
6.10	HDM	Receive and assess comments and transmit to originating office, incorporating them into the policy directive.
6.11		Does office have comments? If no, proceed to 6.12. If yes proceed back to 6.10
6.12	HDM	Collect the designated signatures on Form 117 and the process continues.
6.13	HDM	Receives, reviews and assembles the directive for the approval package for the Associate Administrator's signature.
6.14		Associate Administrator (AA) approves the package? If yes, he or she signs it, and returns it back to the HDM, proceed to 6.16. If no, proceed to 6.15.
6.15	HDM	Return unapproved policy directive from the AA's office to the requester with guidance
6.16	HDM	Picks up the signed hard copy directive and corrected disk from AA's office once it has been approved
6.17		To Code JM for processing directive and disk on NODIS electronic system

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7. QUALITY RECORDS

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Media</u>	<u>Schedule Number and Item Number</u>	<u>Retention/Disposition</u>
Routing Slip (NF 26)	CO	HDM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 years then destroy
Code C – Concurrence ADS (NF 117) (For external reviews)	CO	HDM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 years then destroy
NASA Action Document Summary, (NF 117)	CO	HDM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 years then destroy
NASA Directive Summary, (NF 184)	CO	HDM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 years then destroy
Previous Policy		HDM	Hardcopy	Schedule 1, Item 72.B.1	Permanent - Retire to Federal Records Center 5 years after Cancellation or when superseded.
Tracking Log	CO	HDM	Electronic	Schedule 1, Item 72.E.2	Destroy when superseded, obsolete, no longer needed
Consolidated Comments (For external reviews)	CO	HDM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 years then destroy
Draft Policy (For external reviews)	CO	HDM	Hardcopy	Schedule 1, Item 72.C2	Transfer background and related material to level issuance office.
Final Draft Policy	CO	HDM	Hardcopy	Schedule 1, Item 12.B.2	Retain 2 years then destroy
Signed Policy	CO	HDM	Hardcopy	Schedule 1, Item 72.B.1	Permanent Retire to FRC 5 years after cancellation or when superseded.